

NASA SHARED SERVICES CENTER

Grant and Cooperative Agreement Service Delivery Guide

September 22, 2006
Revision: A

Approved by

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September 22, 2006
Date

Document History Log

Status (Basic/Revision Cancelled)	Document Version	Effective Date	Description of Change
Basic	Basic	4/13/06	Basic Release
Revision	A	9/22/06	Update Guide for Transition of Wave II Centers -
			<p>Detailed Changes Include:</p> <p>p. 5: NSSC Responsibilities -Added bullets 4 – 6.</p> <p>p. 6: Added first bullet at top; Center Responsibilities - 2nd bullet – Added last 2 sentences for clarification of a “renewal.”</p> <p>p. 7: Center Responsibilities - Added bullets 3 – 7.</p> <p>p. 8: 1st bullet – Added last sentence; added remainder of page.</p> <p>p. 12: Step 7, added NEPA and Safety Compliance.</p> <p>p. 14: Added GDGS.</p> <p>p. 15: New Systems - Deleted “Grants Management Line of Business” – N/A to NASA.</p> <p>p. 17: Added Grant Officers and Center Liaisons to POC list.</p> <p>p. B-1: Added DORA, NEPA and Safety Requirements to checklist.</p> <p>p. C-1: Step 1 – Added reference to GIC 06-01 to “notes”; added last sentence under “action.”</p> <p>p. C-2: Step 9 – Added DORA to process flow.</p> <p>p. C-3: Renumbered previous Note 1 to Note 2 and added new Note 1 to reference GIC 06-01 for Earmark guidance.</p> <p>p. C-5: Added Steps 1-5 for clarification.</p> <p>p. E-1: Under “Mail” – Added Federal Express info.</p> <p>p. E-2: Added DORA, NEPA and Safety Requirements to Transmittal Form.</p> <p>p. F-1: Updated Appendix VI “Exclusions List” and grouped by Centers.</p>

Grants and Cooperative Agreements

Introduction

The Federal Financial Assistance Management Improvement Act of 1999, also known as Public Law 106-107 (P.L. 106-107), was enacted in November 1999. Public Law 106-107 is the statute that underlies the 26 Federal agencies that award assistance instruments; and underlies their efforts to streamline and simplify the Grant and Cooperative Agreement administrative process. The purposes of the Act are to: (1) improve the effectiveness and performance of Federal financial assistance programs, (2) simplify Federal financial assistance application and reporting requirements, (3) improve the delivery of services to the public, and (4) facilitate greater coordination among those responsible for delivering services.

The NASA Shared Services Center (NSSC) supports the Agency's internal effort to create an environment conducive to streamlining and simplifying Grants and Cooperative Agreements. The National Aeronautics and Space Administration (NASA), through the establishment of the NSSC, an organization reporting directly to NASA Headquarters, has transitioned to a consolidation model for the award and administration of all Agency Grants and Cooperative Agreements. The consolidation is designed to achieve efficient and effective service, improve data quality, standardize processes, leverage skills and investments, and provide economies of scale.

Objective

The objective of the NSSC, Procurement Division, Research Activities Branch, is to provide support for NASA research, science and education communities in the award and administration of research, education, training, and facility Grants and Cooperative Agreements.

The NSSC transitioned the responsibility for Wave I Centers on May 1, 2006. Wave I Centers include: Dryden Flight Research Center (DFRC), Goddard Space Flight Center (GSFC), NASA Headquarters (HQ), NASA Management Office (NMO), and Stennis Space Center (SSC).

The NSSC will transition all responsibilities for Wave II Centers on October 1, 2006. Wave II Centers include: Ames Research Center (ARC), Glenn Research Center (GRC), Johnson Space Center (JSC), Langley Research Center (LaRC), Kennedy Space Center (KSC), and Marshall Space Flight Center (MSFC).

Appendices have been attached to this Service Delivery Guide to include the following: Grant and Cooperative Agreement Flowchart (Appendix I), Checklist for Technical Requirements Package (Appendix II), Detailed Earmark Process Flow (Appendix III – Part A) and Detailed Unsolicited Proposal Process Flow (Appendix III – Part B), Distribution of Award Documents for Payment Processing (Appendix IV), Technical Requirements Package Transmittal Form (Appendix V), List of Science and Research Institutes Excluded from NSSC Award and Administration (Appendix VI), and Acronyms and Abbreviations (Appendix VII).

This Service Delivery Guide, the Quick Reference Guide and the Transition Plan may be found on the NSSC's external Web page as follows:

www.nssc.nasa.gov

- Select Customer Service
- Select Procurement
- Select Grants and Cooperative Agreements
- Select desired document under Resources (bottom right corner of the web page)

NSSC and Center Responsibilities

Since May 1, 2006, the NSSC Research Activities Branch has been processing Grant and Cooperative Agreement awards for Wave 1 Centers (DFRC, GSFC, HQ, NMO, SSC). On October 1, 2006, the NSSC will begin to assume award activities for Wave II Centers (ARC, GRC, JSC, KSC, LaRC, MSFC).

Pending CMM rollout, the NSSC has established internal procedures for generating and awarding Grants and Cooperative Agreements. The NSSC is currently using a Grant Document Generation Software (GDGS) to prepare grant award documents.

NSSC Responsibilities:

- Award and administration of Grants and Cooperative Agreements to institutions of higher education, hospitals, and other non-profit organizations in accordance with Subparts A and B, as defined in 14 CFR Part 1260.4(a), of the NASA Grant and Cooperative Agreement Handbook.
- Award and administration of Grants with commercial firms in accordance with Subparts A and B, as defined in 14 CFR Part 1260-4(b), of the NASA Grant and Cooperative Agreement Handbook .
- Award and administration of Grants and Cooperative Agreements with State, Local, and Indian Tribal Governments in accordance with Subpart C, 14 CFR Part 1273, of the NASA Grant and Cooperative Agreement Handbook.
- Grant **RENEWALS** requiring a new proposal will be processed as new awards at the NSSC.
- Award and administration of **EARMARKS** resulting in any type of Grant or Cooperative Agreement (except for Exclusions listed below). Note: Beginning FY 07, Earmarks for all Centers resulting in the award of Grants and Cooperative Agreements will be awarded by the NSSC (except for Exclusions listed below). This includes Earmarks awarded to Recipients for continuation of work awarded in previous years by other Centers. The Earmarks will be handled as new awards at the NSSC for all Centers beginning FY 07.
- Award and administration of **UNSOLICITED PROPOSALS** resulting in any type of Grant or Cooperative Agreement (except for Exclusions listed below).

- The NSSC will request final reports from Recipients and will forward those reports to the appropriate Center Technical Officer. Note: Grant awards require that final reports be sent to both the Technical Officer and the Grant Officer. The NSSC will suspense all Grant awards in our document tracking system "Remedy" and will send reminder notifications to Recipients when reports are due. The NSSC will then forward those reports received from Recipients to Technical Officers to assure receipt.
- Provide a publicly accessible web site for NSSC pre-award and post-award status on Grants and Cooperative Agreements. URL:
www.nssc.nasa.gov/grantstatus

Exclusions: The NSSC will not award: (1) Cooperative Agreements to commercial firms in accordance with Subpart D of the Grant and Cooperative Agreement Handbook and (2) Cooperative Agreements to establish and/or maintain existing science and research institutes (Reference Appendix VI). Note: Appendix VI is subject to change. Centers should notify the NSSC when a science and research institute needs to be added to Appendix VI.

Center Responsibilities:

Each Center retains the following responsibilities:

- Provide a Purchase Request Package to the NSSC which includes the Technical Requirements Package (TRP) and a Purchase Request (PR). Reference Appendix II of Service Delivery Guide (B-1).
- Continue the administration of all existing Grants and Cooperative Agreements awarded at the Center through completion of closeout. Administration includes funding actions for multi-year grants, but excludes any grant "renewal" actions requiring a new proposal. Renewal actions are the responsibility of the NSSC and will be processed as new awards.
- Award and administration of Cooperative Agreements to establish and/or maintain existing science and research institutes. Reference Appendix VI of the Grant and Cooperative Agreement Service Delivery Guide for a list of research institutes excluded from NSSC award and administration. The list is subject to change.
- Award and administration of Cooperative Agreements to commercial firms in accordance with Subpart D, as defined in 14 CFR Part 1274-102(a, b, and c), of the NASA Grant and Cooperative Agreement Handbook.

- On a case-by-case basis, and under exceptional circumstances, the Center may request a waiver from NASA HQ Office of Procurement, to allow that Center to award or retain a particular Grant or Cooperative Agreement that would otherwise be handled by the NSSC.
- The Centers retain the responsibility for issuing their own Broad Agency Announcements (BAAs), NASA Research Announcements (NRAs), Announcements of Opportunity (AOs), and Cooperative Agreement Notices (CANs).
- The Centers will continue to perform technical review of all solicited proposals.
- Centers retain the responsibility for all preaward activities associated with the receipt and evaluation of unsolicited proposals. Centers shall use their own local policy and procedures for the unsolicited proposal process. If a decision is made to fund a resulting Grant or Cooperative Agreement, a complete purchase request package is then forwarded to the NSSC for award.
- Centers will continue to perform Technical review of all Earmarks resulting in Grants or Cooperative Agreements. The Center Technical Officer is responsible for preparing a Technical Evaluation Memorandum and a Document for Readiness of Award (DORA). The DORA shall be routed through the Center CFO for signature before transmitting to the NSSC. Reference Grant Information Circular (GIC) 06-01 at the following URL for additional guidance related to the processing of Congressional interest items (Earmarks).

<http://ec.msfc.nasa.gov/hq/gic/gic06-01.html>

- Center Technical Officers shall be responsible for meeting Scientific and Technical Information (STI) requirements for final reports. A Grant Information Circular (GIC) shall be issued in the near future by HQ giving guidance on the STI process.
- Centers shall use their own Center's local procedures for any Legal review requirements (if any) for the preaward process for Grants and Cooperative Agreements. The NSSC Counsel will perform legal review of grant award documents prepared at the NSSC, if required.

- The Centers retain all program/project management activities (budgeting, funding, costing, property management, patents, technology transfer, NEPA oversight for facilities grants, safety oversight – to include oversight of grant recipients working at NASA Centers). The Centers' Finance Offices retain the payment management function (SF-272), including monitoring costs, until Finance is transitioned to the NSSC in FY08. Centers may contact the NSSC Grant Officer responsible for their Center (Ref. p. 16) if they have questions regarding the Center's responsibility for these activities.

Competency Center Responsibilities:

- Agency role in SAP
 - Process vendor code requests
-

PR Process in SAP for Grants and Cooperative Agreements:

- Header Text information is used extensively and should be used to note the type of grant action (i.e., Congressional Earmark, PI Transfer, Augmentation, etc.)
- Short text field under the "Item Overview" section of the PR must be used to identify the name of the PI in order to properly populate the Grant Status Webpage.
- Center PRs for Grants awarded by the NSSC will require the use of the following P-Groups: AXA – ARC; DXA – DFRC; CXA – GRC; GXA – GSFC; HXA – HQ; NXA – NMO; JXA – JSC; KXA – KSC; LXA – LaRC; MXA – MSFC; SXA – SSC.

Submission of Emergency PRs During Year End Shutdown:

- Manual emergency purchase requests will be accepted by the NASA Shared Services Center (NSSC) during year-end closing when SAP is unavailable. The Centers shall follow their own procedures for initiating emergency PRs. The Finance Office for each Center shall certify that resources are available. Emergency PRs should be sent to the NSSC with a PR number assigned to the action for tracking purposes.
- Approved Center PRs should be sent to the following point of contact: **Denece A. Norris** (Denece.A.Norris@nasa.gov; phone: 228-813-6267, fax: 228-813-6315). Once the SAP system is reopened, each Center shall be responsible for initiating a PR in SAP to match to the emergency procurement action.

Process – Grants and Cooperative Agreements

Specific Roles & Responsibilities

Roles and Responsibilities	Action	Tips/Notes
Step 1 NASA Centers/ HQ	<p>Identify opportunity. Prepare a full description of the opportunity for a Grant or Cooperative Agreement.</p> <p>Prepare a synopsis of the technical objectives for the opportunity. Announcement will be prepared in accordance with the requirements of NPG 5800.1 (14 CFR 1260).</p> <p>Release the announcement to the public (NAIS/NSPIRES/Grants.gov/FedBizOps).</p>	Note: Announcement is reviewed for compliance with NPG 5800.1 in accordance with local procedures. NSSC Civil Servant/Service Provider (CS/SP) will obtain an information copy of announcement from NAIS, FedBizOps and Grants.gov via automatic notification services.
Step 2 NASA Centers/ HQ	<p>Receive and evaluate Offeror's proposals. Make selection, prepare Technical Requirements Package (TRP), prepare selection documentation for TRP and prepare Purchase Request in SAP for release to the NSSC (14 CFR 1260.11). Transmit TRP to the NSSC using a Transmittal Form (Ref. Appendix V). Transmittal methods include: attached to PR in SAP, email, encrypted email, fax or mail carrier.</p> <p>Notify Offerors not selected.</p> <p>Notify appropriate NASA HQ Offices of the selection for formal public release process.</p> <p>Forward copy of notification to the NSSC for official grant file, if applicable.</p> <p>Submit the TRP to the NSSC to process the award.</p>	See Notes 1 and 2, in Appendix I and see Appendix II
Step 3 NSSC-SP	NSSC-SP receives TRP, assigns Grant Technician and notifies via email the Center Technical POC and PR Requisitioner of NSSC Grant Technician and Grant Officer assignments.	Note: Grant Officers are assigned by Centers. See Page 17 for list of NSSC Grant Officers.

Roles and Responsibilities	Action	Tips/Notes
<p>Step 4 NSSC-CS/SP</p>	<p>The SP receives the PR through SAP and matches the PR with the Technical Requirements Package (TRP).</p> <p>The SP reviews the PR and Technical Requirements Package (TRP) for completeness to determine if package can be accepted as complete.</p> <p>The SP checks if the Recipient has an IFM Vendor Code, a CAGE Code, and Registration in CCR. Appropriate action will be initiated if registrations have not been completed. The SP checks the Debarred Bidder's List.</p> <p>The SP verifies public notification is completed and copy of notification is in the grant file, if applicable.</p> <p>If the TRP is complete, the SP will accept the package and input date of receipt of complete package into Remedy. If the TRP is incomplete, the SP will notify the Center Technical Point of Contact. If the TRP is still incomplete after five (5) calendar days, the SP will request assistance from the CS in obtaining a complete package.</p> <p>The CS will assist to obtain a complete package. Once a complete package is received, the SP will update Remedy to reflect date of receipt of a complete TRP.</p>	<p>See Note 3 of Appendix I</p> <p>SP inputs status milestone into Remedy for tracking</p> <p>See Note 4 of Appendix I</p> <p>SP inputs status milestone into Remedy for tracking</p>
<p>Step 5 NSSC-SP</p>	<p>Prepares the Grant award package for the review and approval of the NSSC-CS in accordance with NSSC internal policies and procedures.</p> <p>Submits the entire Grant file to the NSSC-CS for review, approval and award.</p>	<p>SP inputs status milestone into Remedy for tracking</p>

Roles and Responsibilities	Action	Tips/Notes
<p>Step 6 (a) NSSC-CS</p>	<p>Reviews the file documentation and award document. If required, conducts negotiations with the Recipient and completes the Cost Analysis Memo drafted by the SP stating the pre-negotiation objectives.</p> <p>If negotiations are not required, and if the award file is complete, the Grant Officer will determine if Legal review is required. If Legal review is not required, the Grant Officer will sign the award document and forward the file to the SP for distribution and administration.</p> <p>If Legal review is required, the Grant Officer will forward the complete file to Counsel for review. If the file is determined to be legally sufficient, the Grant Officer will sign the award document and forward the file to the SP for distribution and administration.</p> <p>If the file is determined not to be legally sufficient or if the file contains errors, the Grant Officer will return the file to the SP for changes or corrections.</p> <p>If negotiations are required, the Grant Officer will conduct and document negotiations on the Cost Analysis Memo and return the file to the SP for appropriate changes. The Grant Officer will again determine if Legal review is required and repeat process above.</p>	<p>CS inputs status milestone into Remedy for tracking</p> <p>CS inputs status milestone into Remedy for tracking</p>
<p>Step 6 (b) NSSC-SP</p>	<p>The SP makes changes or corrections resulting from negotiations, errors, or Legal review. The SP returns the file to the Grant Officer for review and signature.</p>	<p>SP inputs status milestone into Remedy for tracking</p>
<p>Step 6(c) NSSC-CS/SP</p>	<p>The Grant Officer will review the file and sign award document. The award will be obligated in SAP by the SP and/or the CS. The CS will "Release" the obligation in SAP. The file will be returned to the SP for distribution and administration.</p>	<p>CS inputs status milestone into Remedy for tracking</p>

Roles and Responsibilities	Action	Tips/Notes
Step 7 NSSC-CS/SP Center Technical Officer/Finance Office	The SP will work with the NSSC Grant Officer and Center personnel (Technical Officer, Property Officer, Finance Offices, New Technology Representative, Patent Representative, Resources, Safety Officer, NEPA Manager, etc.) for coordination on post-award administration. Post-award requirements include but are not limited to: delegation of administration; incremental funding actions; time extensions; augmentations; renewals; changes in scope; changes in PI; transfers, novations and change of name agreements; termination and enforcement; and monitoring of reporting requirements. Other routine activities involving property, patents, new technology, NEPA (National Environmental Protection Act) compliance, Safety compliance, etc., will be coordinated with the Center's POCs for these matters. Once the award is physically complete, the SP will transfer the file to the NASA closeout Contractor.	

Metrics

Initiating Office/Entity	Deliverable (Output)	Receiving Office/Entity	Metric
NSSC Procurement	Grant or Cooperative Agreement Award	Data entered into SAP/IEMP	Grant lead times for new awards 90% of award packages prepared within 29 calendar days of receipt of the complete technical requirements package. (Note: This metric includes receipt of a funded/released Purchase Request)

Privacy/Proprietary Data

All participants involved must ensure protection of all data covered by the Privacy Act and all sensitive and proprietary data received. In addition, all SP participants have signed non-disclosure agreements and have received training on the handling of sensitive and proprietary data.

System Components

Existing Systems

IT System Title	IT System Description	Access Requirements	IT System Interfaces
NAIS EPS (Non-NSSC System)	Publishes synopses of NASA Grant and Cooperative Agreement opportunities through: Broad Agency Announcements (BAAs), NASA Research Announcements (NRAs), Announcements of Opportunity (AOs), and Cooperative Agreement Notices (CANs).	User role at NSSC	Grants.gov
Grants.gov (Non-NASA system)	Government-wide system to publish synopses of NASA Grant and Agreement opportunities through: BAAs, NRAs, AOs, and CANs. This system supports electronic proposal receipt.	No role for NSSC at this time	NAIS EPS and NSPIRES
NSPIRES (Non-NSSC system)	NSPIRES is the NASA Solicitation and Proposal Integrated Review and Evaluation System. This system publishes NASA Grant and Cooperative Agreement opportunities through: BAAs, NRAs, AOs, CANs. Supports electronic proposal receipt and provides for peer review, selection, deliverable submission, and tracking.	NSSC-CS will have a user role in the near future to access electronic proposals	Grants.gov
SAP/IEMP	Integrated Enterprise Management Program (IEMP) for Purchase Request receipt and payment processing.	User role at NSSC	NONE

Health & Human Services Payment Management System (Non-NASA System)	Grant payment, financial management reporting, and cost allocation.	User role in the Centers' Finance Offices until transition to NSSC	SAP/IEMP
Federal Assistance Awards Data System (FAADS) (Non-NASA System)	Data reporting system for Grants and Cooperative Agreements.	User role at NSSC	SAP/IEMP
Office of Naval Research (ONR) Grants Administration System (Non-NASA System)	Supports Grant administration.	No role for NSSC	None
Health and Human Services Financial Management/ Cost Allocation (Non-NASA System)	Access to indirect rate agreements negotiated with non-profits and universities.	User role at NSSC	None
Goddard Document Generation Software (GDGS)	Grant Document writing system deployed at the NSSC	User role at NSSC	None

New Systems

Generic System Title	Business Requirements for System	Access Requirements	IT System Interfaces
<p>CMM (Contract Management Module-PRISM)</p> <p>Roll out date for CMM to be determined.</p>	Document Generation System - generates Grant and Cooperative Agreement documents, facilitates data reporting, tracks lead-times, and management information.	<p>User role for SP</p> <p>Approver role for CS</p> <p>Super User Role for SP and CS</p>	SAP/IEMP
Remedy	Supports NSSC internal activities, metrics, etc.	User role for the SP and CS	Tech Doc Document Management System
<p>Grants Website</p> <p>Grant Status Query System</p>	NSSC milestone tracking of Receipt of PR package through closeout. Monitor pre- and post-award Grant and Cooperative Agreement status milestones.	Create and maintain role for the SP.	REMEDY

NSSC Customer Contact Center Strategy

The NSSC Customer Contact Center can be reached via phone, fax or e-mail. Each call, fax or e-mail will initially be assigned as a "Level I" case. The Contact Center will make every effort to answer the inquiry, and a Remedy ticket will be opened for all inquiries. In the event a question cannot be answered by the Contact Center, the case will be routed to "Level II" which is the Procurement Office Service Provider (SP). Inquires requiring a response from a Grant Officer will be routed to "Level III" the Procurement Office Civil Servant (CS), or Grant Officer. Inquiries regarding a specific Grant or Cooperative Agreement will be routed to the Level II or Level III contact assigned to work on that specific award.

Email queries: nssc-contactcenter@nasa.gov

Fax queries: 1-866-779-6772

Phone queries: 1-877-NSSC123 (or 1-877-677-2123)

The NSSC Customer Contact Center has been provided a listing of Procurement Office Service Provider staff, and their Grant & Cooperative Agreement area of responsibility, as well as the reference URL's for Grant status web sites, other NSSC Procurement Points of Contacts, and pertinent information.

RELEVANT POINTS OF CONTACT AT THE NSSC

Procurement Division, Research Activities Branch – Government

Monique Sullivan
Chief, Research Activities Branch
NASA Shared Services Center
Building 5100
Stennis Space Center, MS 39529
Phone: 228-813-6134
Email: Monique.Sullivan-1@nasa.gov

Tina M. Landes
NSSC Grants Officer
Phone: 228-813-6175
Email: Tina.M.Landes@nasa.gov

Grant Officers and their assigned Centers:

Cheryl Lee, 228-813-6266; Cheryl.Lee-1@nasa.gov; Centers: GSFC, HQ
LouElla Simonetti, 228-813-6274; LouElla.Simonetti-1@nasa.gov; Centers: GRC, LaRC
Cassandra Williams, 228-813-6271; Cassandra.Williams@nasa.gov; Centers: JSC, KSC, MSFC, SSC
Dean Yoshioka, 228-813-6275; Dean.Yoshioka@nasa.gov; Centers: ARC, DFRC, NMO

Procurement Grants and Cooperative Agreements – Service Provider

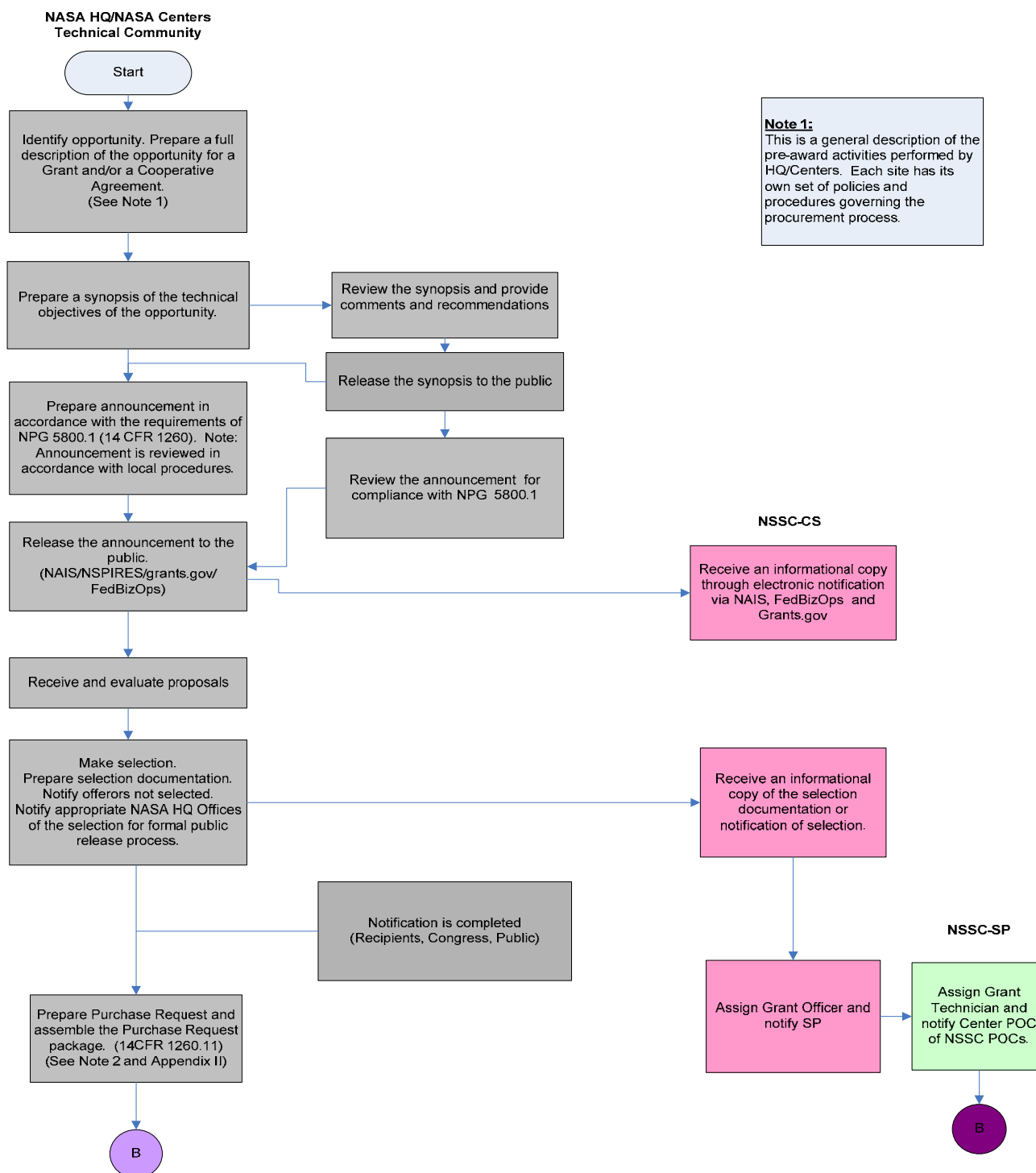
David Rogers
NASA Shared Services Center
Building 5100
Stennis Space Center, MS 39529
Phone: 228-813-6162
Email: David.R.Rogers@nasa.gov

Center Liaisons:

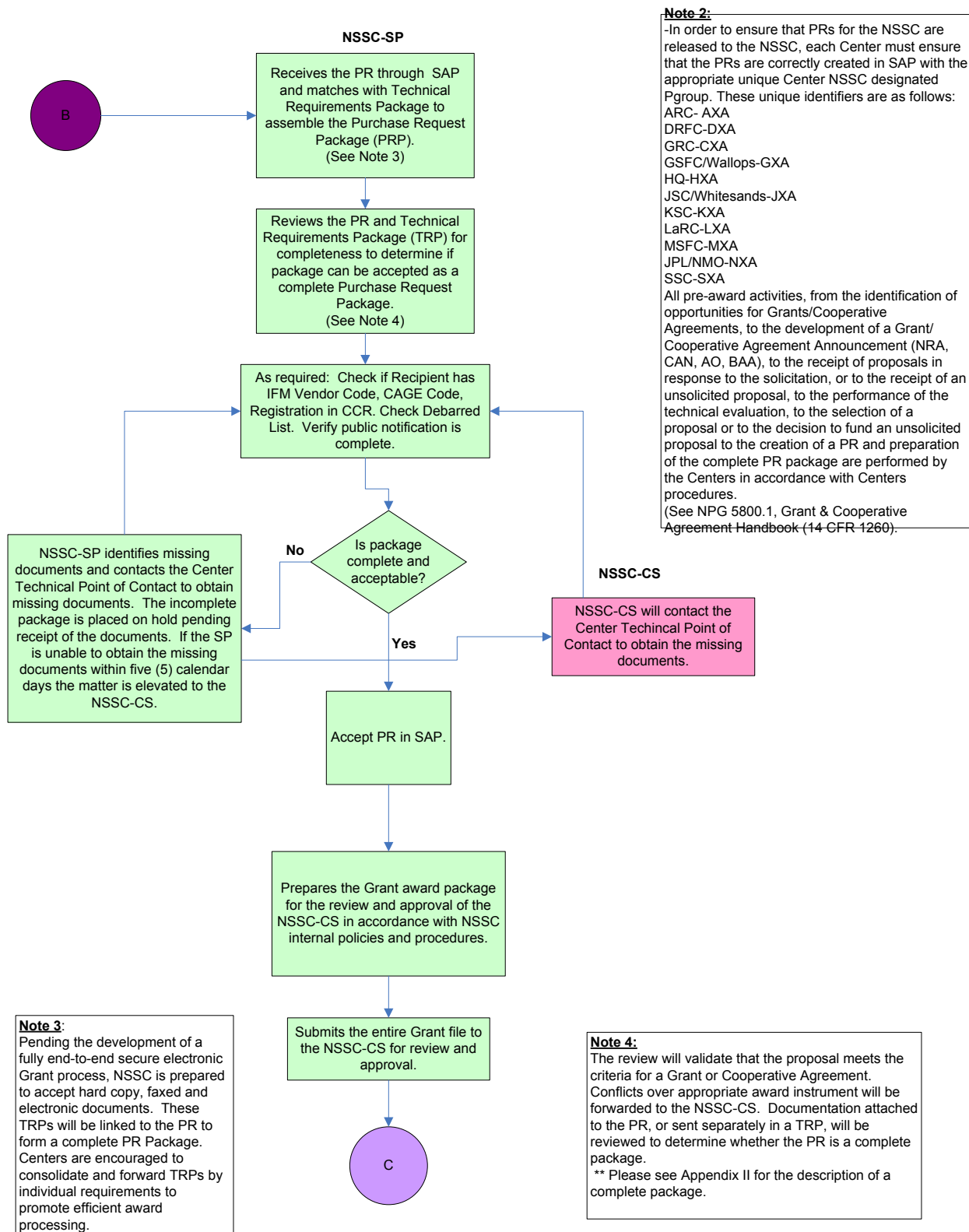
ARC – Elena Martinez, 650-604-4135
DFRC – Louann Beu, 661-276-3333
GRC – Diane Duly, 216-433-2496
GSFC – Veronica Stubbs, 301-286-2581
HQ – Joseph Lanasa, 202-358-0974
JSC – Linda LaPradd, 281-483-3092
KSC – Bob Monson, 321-867-8519
LaRC – Linwood Smith, 757-864-2189
MSFC – Cathy Fletcher, 256-544-7752
SSC – Chris Canary, 228-813-6224

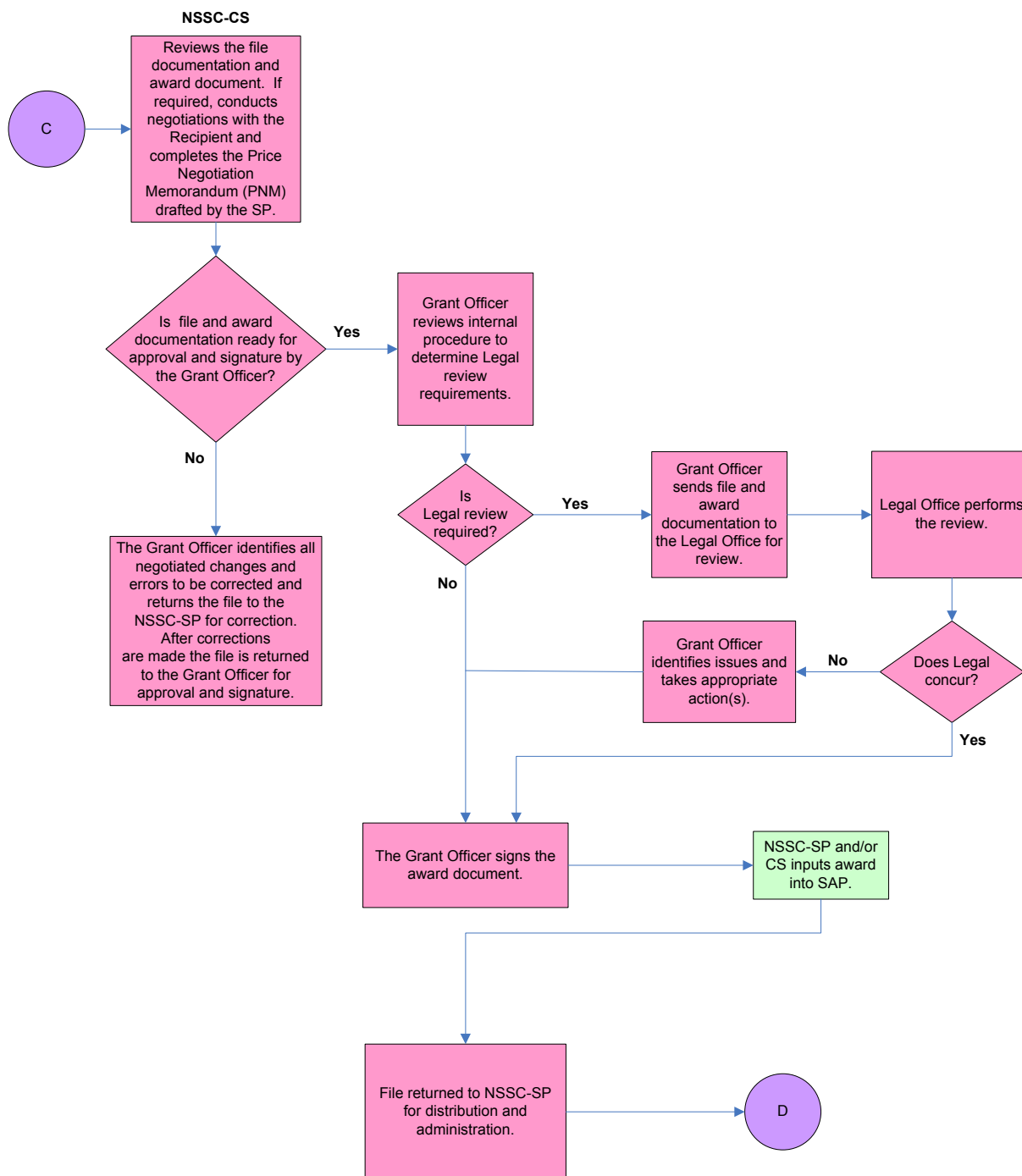
APPENDIX I – Grant and Cooperative Agreement Flow Chart

Processing of Grants/Cooperative Agreements Resulting from Competitive Announcements General Overview

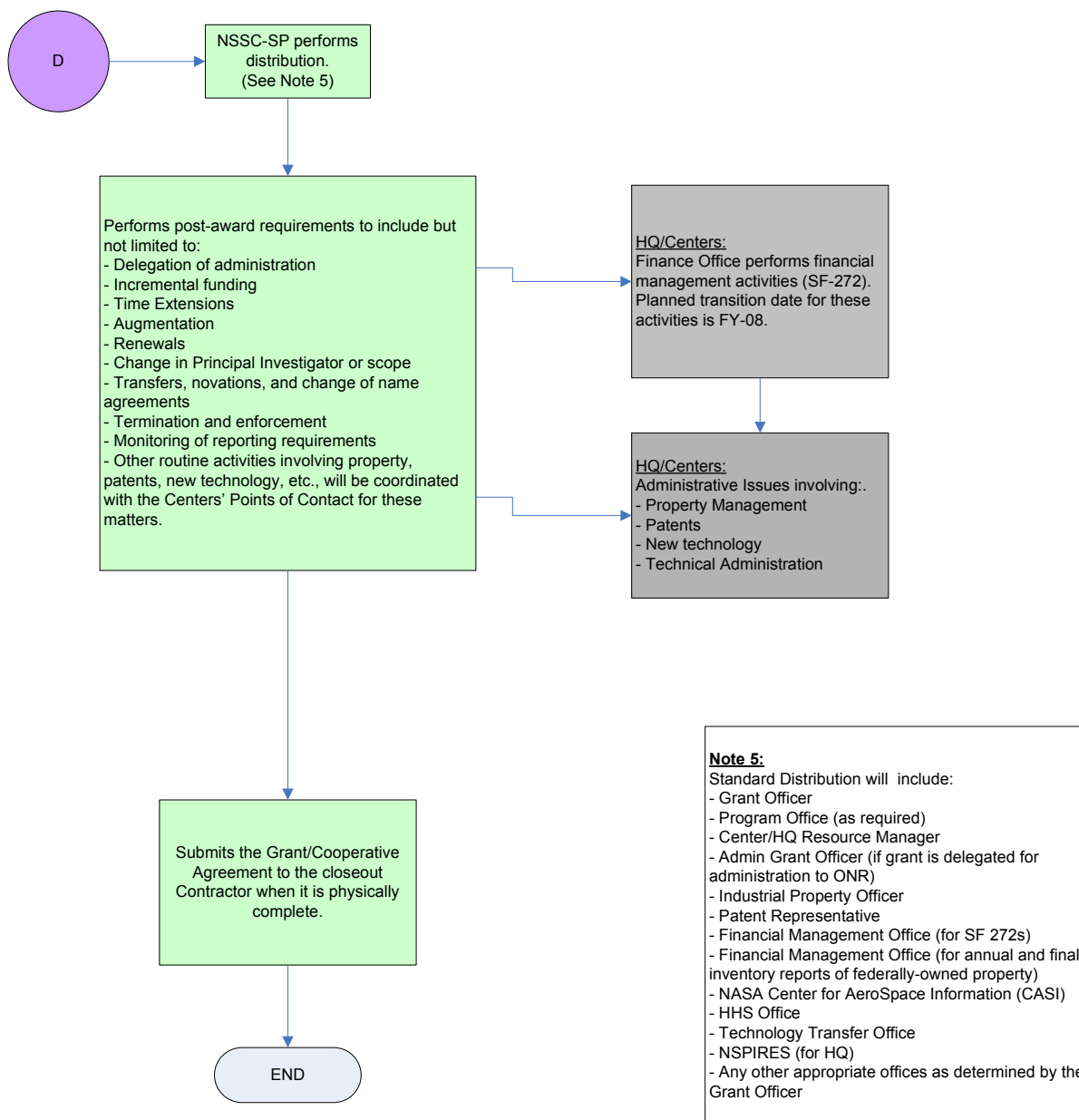


Processing of Grants/Cooperative Agreements Resulting from Competitive Announcements General Overview



**Processing of Grants/Cooperative Agreements Resulting from Competitive Announcements
General Overview**

Processing of Grants/Cooperative Agreements Resulting from Competitive Announcements General Overview



Appendix II – Checklist for Technical Requirements Package

The NSSC-SP will use the following checklist to ensure Technical Requirements Packages (TRPs) are complete upon receipt at the NSSC. A TRP contains all relative technical and budgetary documentation from the Recipient and the Technical Officer, and also includes a funded Purchase Request (PR).

Required Documentation for New Awards/Renewals (including successor Grants)
SOLICITED: Technical evaluation/peer review evaluation and selection documentation
UNSOLICITED: Technical evaluation, Justification for Acceptance of Unsolicited Proposal (JAUP) and Technical Officer's recommendations
COPY OF SELECTION LETTER (if one was sent to Principal Investigator (PI))
EARMARKS: Document of Readiness for Award (DORA) - Finance Requirement signed by Center CFO
APPROVED DETAILED BUDGET (to include appropriate narrative)
CERTIFICATIONS
ENDORSED PROPOSAL
COPY OF THE BAA/NRA/AO/CAN (cover page only)
JUSTIFICATION AND OTHER APPROVALS (equipment, travel, subcontract consent, general purpose equipment, NEPA requirements, Safety requirements, etc.)
SPECIAL LANGUAGE AND/OR REQUIREMENT FOR AWARD (unique reporting requirements, training Grant provisions, statement of nature of collaboration for Cooperative Agreement)
PURCHASE REQUEST (PR)

Required Documentation for Multi-Year Funding Continuations (i.e., Year 2 of 3 or Year 3 of 3)
PROGRESS REPORT
TECHNICAL EVALUATION MEMORANDUM
REVISED BUDGET (if changed from the plan when Grant or Cooperative Agreement was awarded)
JUSTIFICATIONS AND OTHER APPROVALS (if changes affecting these requirements were made)
ADDITIONAL LANGUAGE AND/OR REQUIREMENT FOR AWARD (if necessary)
PURCHASE REQUEST (PR)

Required Documentation for Supplements (Augmentations) (within original period of performance)
ENDORSED PROPOSAL FOR ADDITIONAL WORK
APPROVED DETAILED BUDGET FOR ADDITIONAL WORK
REVISED BUDGET (if changed from the plan when Grant or Cooperative Agreement was awarded)
TECHNICAL EVALUATION AND SELECTION STATEMENT FOR ADDITIONAL WORK
PURCHASE REQUEST (PR)

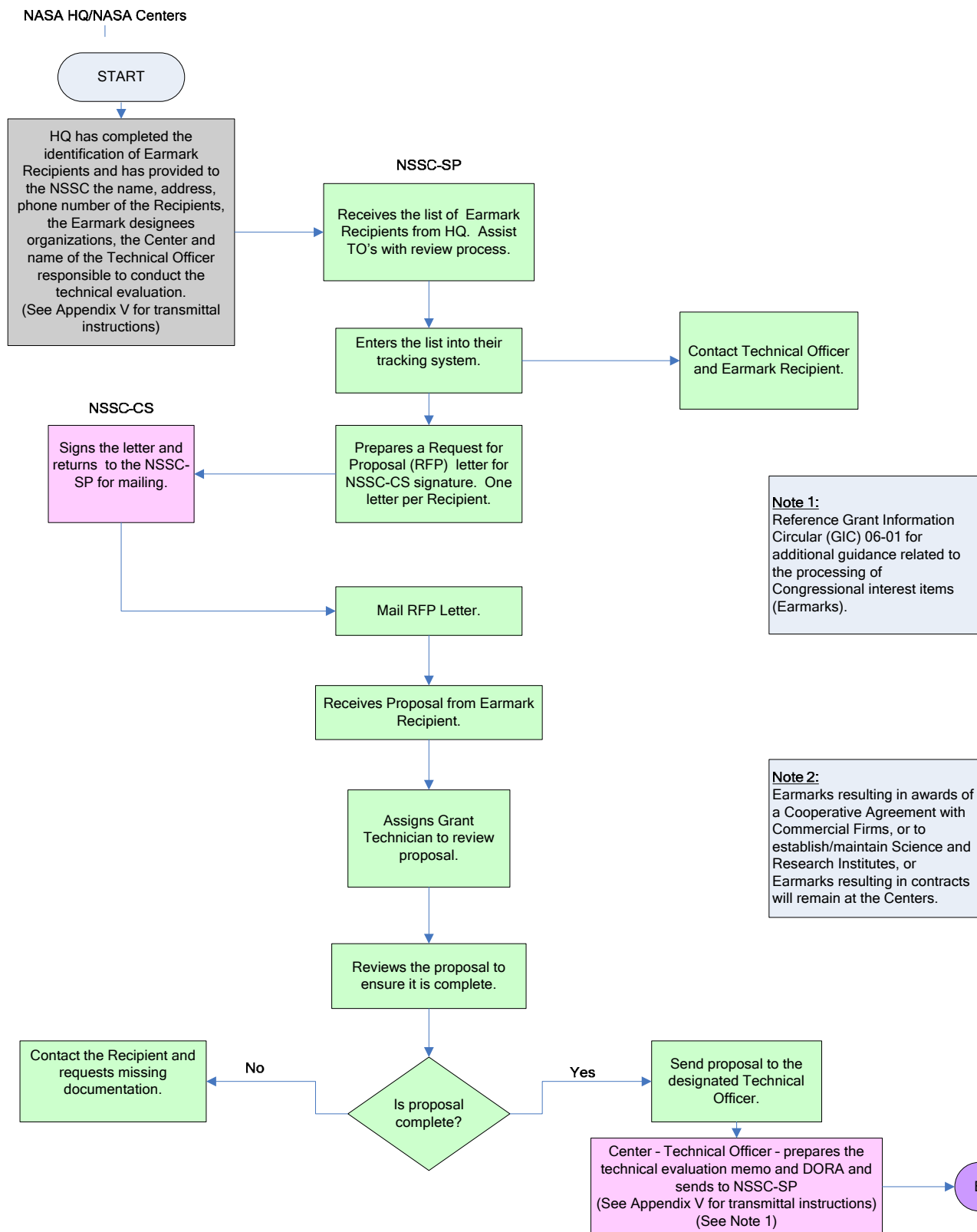
Appendix III – Part A - DETAILED EARMARK PROCESS FLOW

Roles & Responsibilities – Processing Earmarks

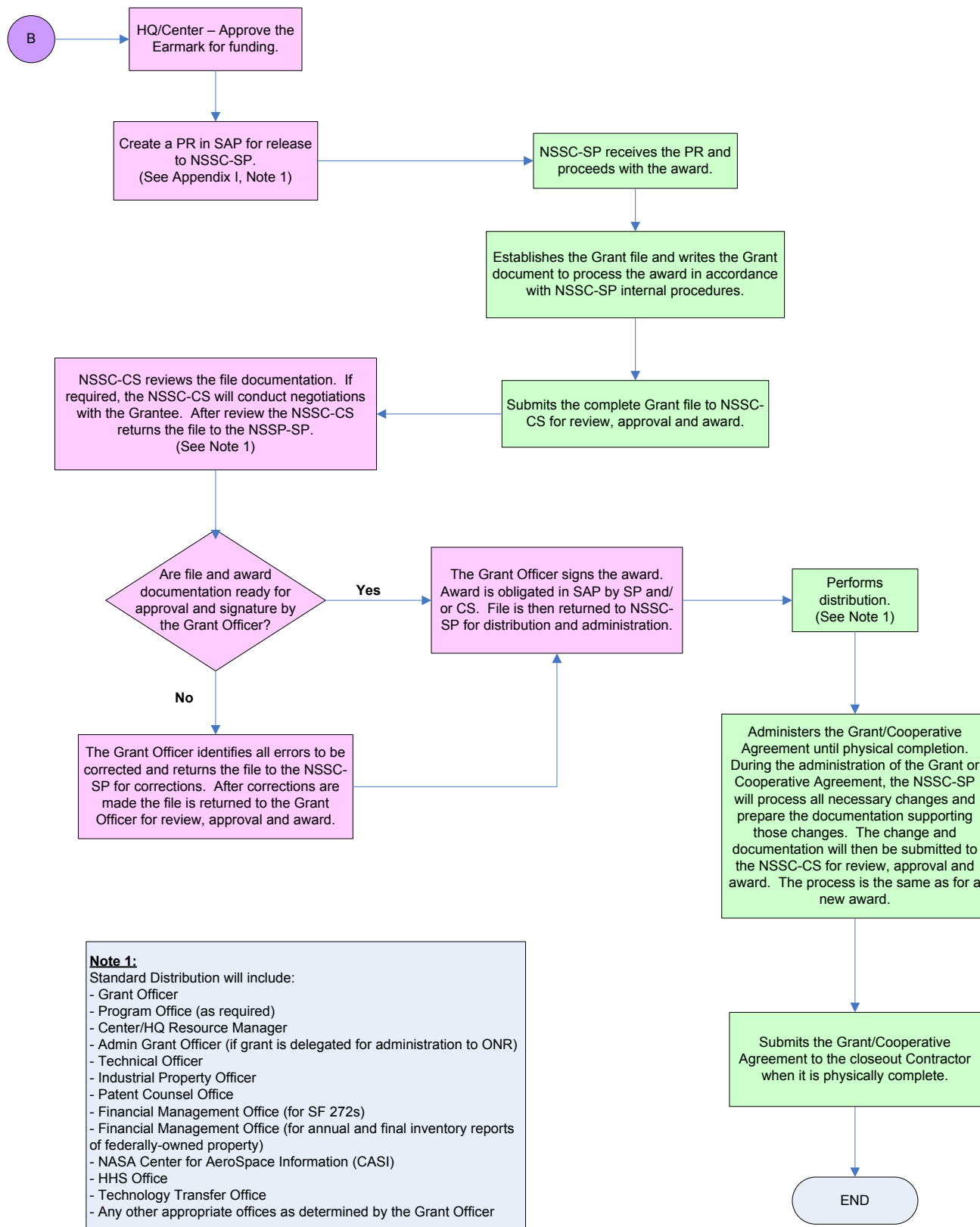
Roles and Responsibilities	Action	Tips/Notes
Step 1 NASA HQ	HQ completes the identification of Earmark Recipients and provides the following data to all Centers: name, organization, address, phone number of the Recipients, the responsible Center and name of the Technical Officer responsible for conducting the technical evaluation. The NSSC will coordinate with the Center Technical Officers (assigned by HQ) offering assistance, if needed, to assure prompt review of Earmark proposals.	Reference GIC 06-01 for additional guidance related to the processing of Earmarks.
Step 2 NSSC-SP	Receive list of Earmark Recipients from HQ.	
Step 3 NSSC-SP	Enter list into NSSC tracking system.	
Step 4 (a) NSSC-SP	Contact designated Technical Officer and Earmark Recipient.	
Step 4 (b) NSSC-SP	Prepare a Request for Proposal (RFP) letter for NSSC-CS signature for each Recipient.	
Step 5 NSSC-CS	Sign RFP letter after HQ has approved Recipient notification.	
Step 6 NSSC-SP	Distribute RFP letter to Recipient and to Technical Officer via email.	
Step 7 NSSC-SP	Receive proposal from Recipient.	
Step 8 (a) NSSC-SP	Review proposal to ensure completeness.	
Step 8 (b) NSSC-SP	If incomplete, contact Recipient with request for missing information.	

Step 8 (c) NSSC-SP	When complete, send proposal to responsible Center to conduct technical evaluation.	
Step 9 Technical Officer (NASA HQ/Centers)	Prepare Technical Evaluation Memo and Document of Readiness for Award (DORA). The DORA shall be routed through the Center CFO for signature. The Technical Officer is responsible for assuring that both the Technical Evaluation Memo and the signed DORA are transmitted to the NSSC-SP.	See Appendix V for transmittal instructions and Transmittal Form
Step 10 (a) NASA HQ/Centers	Approve Earmark for funding.	
Step 10 (b) NASA HQ/Centers	Create PR in SAP for release to NSSC-SP.	
Step 11 NSSC-CS/SP	Receive PR and proceed with award. Follow Grants and Cooperative Agreements Process Flow.	

PROCESSING EARMARKS



PROCESSING EARMARKS

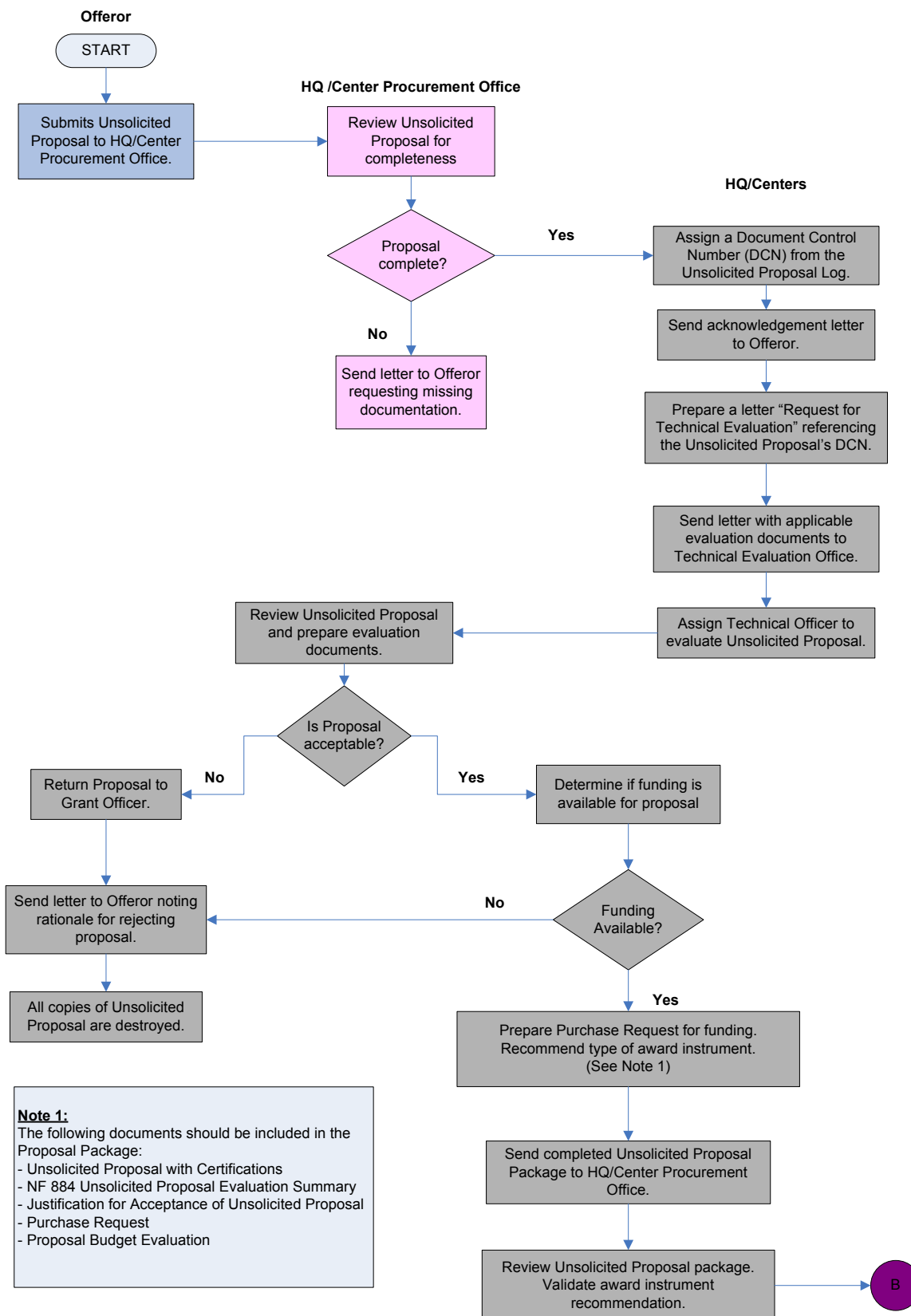


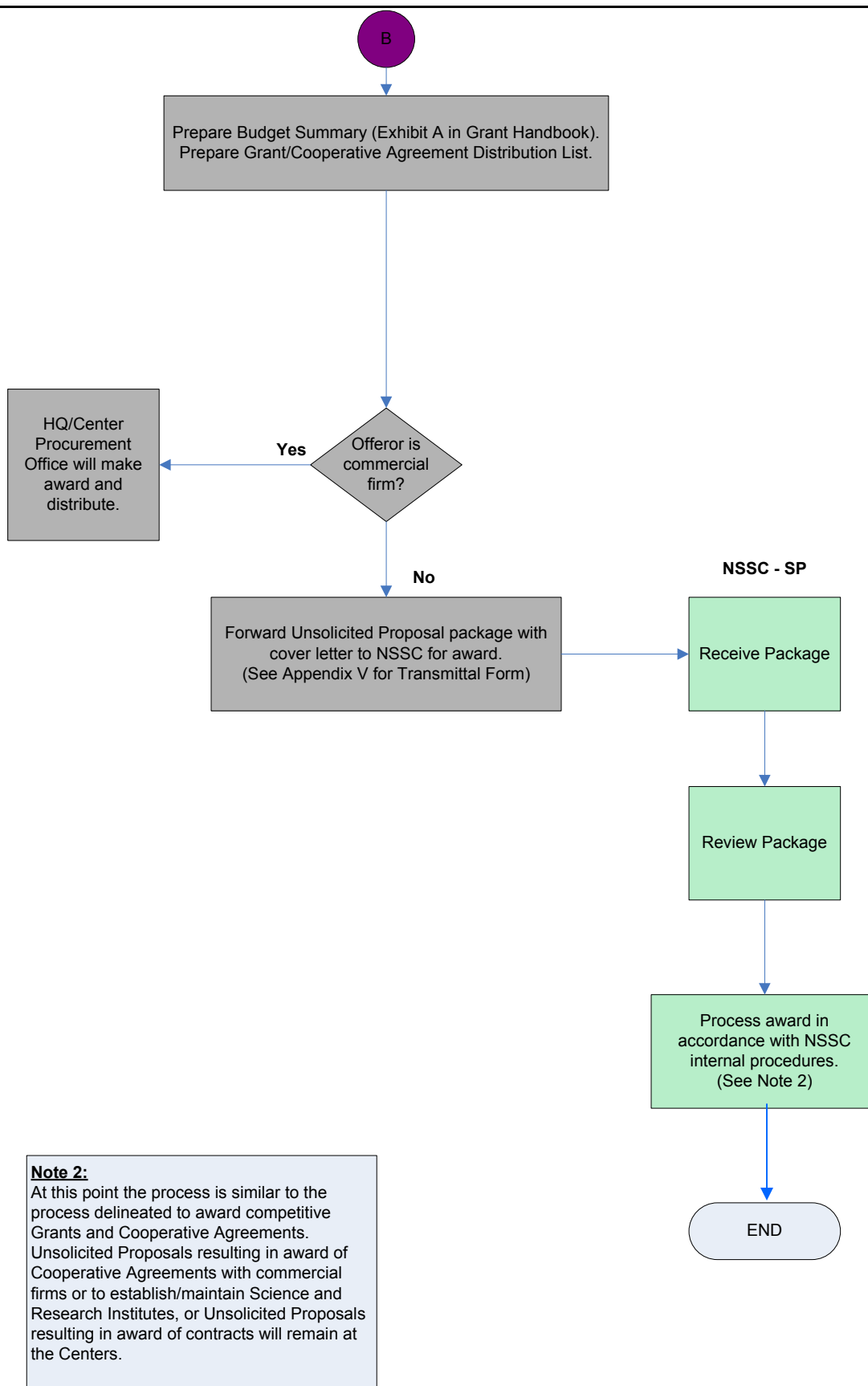
Appendix III – Part B - Detailed Unsolicited Proposal Process Flow

Roles & Responsibilities – Processing Unsolicited Proposals

Roles and Responsibilities	Action	Tips/Notes
Step 1 Offeror	Offeror submits Unsolicited Proposal to HQ/Centers Procurement Office.	
Step 2 HQ/Centers	HQ/Center reviews unsolicited proposal to determine validity.	Reference FAR 15.603(c)(1-6) for the requirements of a "valid" unsolicited proposal.
Step 3 HQ/Centers	If proposal is acceptable, Center processes the proposal in accordance with Center's local policy and procedures.	
Step 4 HQ/Centers	Center determines if unsolicited proposal should be funded.	
Step 5 HQ/Centers	Center prepares Technical Requirements Package (TRP) to include: (copy of Unsolicited Proposal, NF 884, Technical evaluation, budget evaluation, JAUP and PR). Center forwards complete TRP with PR to the NSSC for award processing.	
Step 6 NSSC-SP	NSSC Receives complete TRP and PR.	
Step 7 NSSC-SP	NSSC Reviews Unsolicited Proposal for completeness and prepares award documents.	
Step 8 NSSC-CS	Awards Grant or Cooperative Agreement in accordance with NSSC internal processes and procedures.	At this point the process is similar to the process delineated to award competitive Grants and Cooperative Agreements. (See Appendix I)

Unsolicited Proposals Process General Overview

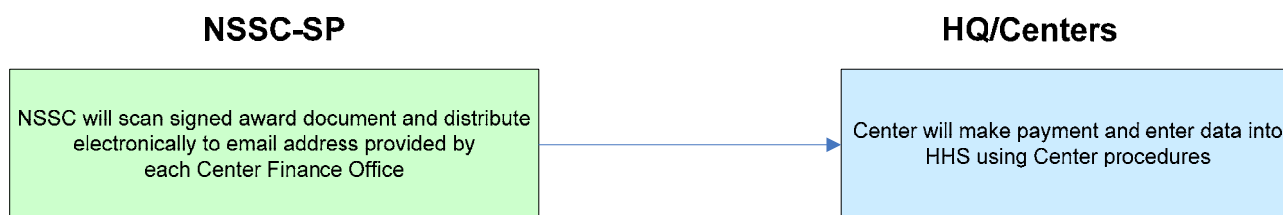




Appendix IV – DISTRIBUTION OF AWARD DOCUMENTS FOR PAYMENT PROCESSING

Due to the delay of the accounts payable and accounts receivable functions for Finance migrating to the NSSC until FY08, each NASA Center will continue these functions for the Grant and Cooperative Agreement transactions awarded at the NSSC. NSSC will scan the award document (with Grant Officer signature) and perform electronic distribution via email to the NASA Technical Point of Contact, Finance, the Recipient, etc., in accordance with standard distribution procedures in the NASA Grant and Cooperative Agreement Handbook.

Distribution will be made to the Payment Office/Center where the Purchase Request originated. Each Center Finance Office will provide an email address to the NSSC-SP to which all award documents will be forwarded. Hard copies will not be forwarded. Each Center Finance Office will process payments in accordance with Center procedures.



Appendix V – TECHNICAL REQUIREMENTS PACKAGE TRANSMITTAL FORM

The attached form should be used to transmit all technical packages and related correspondence to the NSSC to permit more efficient processing of Grants and Cooperative Agreements. One completed form should be used for each technical package to ensure proper sorting and routing of the package. Correspondence for a specific Grant or Cooperative Agreement, not included in the original Technical Requirements Package, should be submitted with a transmittal form. This will permit matching up the correspondence with the specific Grant or Cooperative Agreement in a timely manner.

All incoming documents will be received into the NSSC Tech Doc Center, where they will be processed, and electronically filed.

Technical packages, excluding documents with proprietary data, can be sent as follows:

Email: All non-proprietary documents should be sent to the following unsecured email address. Documents transmitted to this email will be loaded directly into the NSSC document library for routing.

nssc@nasa.gov

SAP/IEMP: Centers may opt to forward Technical Requirements Packages as attachments in the SAP/IEMP system in accordance with local procedures. These attachments will come into the NSSC via the PRISM System (CMM). **Note: The preferred method is to attach all non-proprietary documents of the Technical Requirements Package to the PR in SAP.**

Fax: Do NOT fax proposal or proprietary information. Faxed information is secure once it arrives at NSSC; however transmission of fax is unsecured. Documents transmitted to this fax will be loaded directly into the NSSC document library for routing.

1-866-779-6772

Technical packages, including documents containing proprietary data, can be sent as follows:

Mail: All documents, including those with proprietary data, can be mailed to the following address. Documents transmitted via mail will be loaded directly into the NSSC document library for routing. **Centers may contact their NSSC Liaison (Reference page 17) to obtain a Federal Express account number to send documents to the NSSC via Federal Express.**

NASA Shared Services Center
Attn: Office of Procurement-SP
Building 5100
Stennis Space Center, MS 39529

Encrypted Email: Centers may contact the NSSC Contact Center to obtain a valid PKI email address to send proprietary data vial encrypted email. It is anticipated that the NSSC will be linked to NSPIRES in the near future and will be able to access proposals electronically.

**GRANT/COOPERATIVE AGREEMENT
TECHNICAL REQUIREMENTS PACKAGE TRANSMITTAL FORM
NEW AWARDS/RENEWALS**

**◆ ARC ◆ DFRC ◆ GRC ◆ GSFC/Wallops ◆ HQ ◆ JPL/NMO
◆ JSC/White Sands ◆ LaRC ◆ KSC ◆ MSFC ◆ SSC**

PROPOSAL TITLE _____

Check type: ☐ Education ☐ Facilities ☐ Research ☐ TrainingCheck type: ☐ Competitive ☐ Non-Competitive EARMARK: ☐ Yes; ☐ No

Principal Investigator (PI):

Name _____

Email _____

Phone _____

Technical Officer or Technical Investigator (TI):

Name _____

Email _____

Phone _____

Created By:/Center Point of Contact:

PR NUMBER (if known) _____

Name _____

Email _____

Phone _____

Required Documentation for New Awards/Renewals (including successor Grants and Cooperative Agreements)	COMMENTS
SOLICITED: Technical evaluation/peer review evaluation and selection documentation	
UNSOLICITED: Technical evaluation, JAUP and Technical Officer's recommendations	
COPY OF SELECTION LETTER (if one was sent to PI)	
EARMARKS: Document of Readiness for Award (DORA)–Signed by Center CFO	
APPROVED DETAILED BUDGET (to include appropriate narrative)	
CERTIFICATIONS	
ENDORSED PROPOSAL	
COPY OF THE BAA/NRA/AO/CAN (cover page only)	
JUSTIFICATION AND OTHER APPROVALS (equipment, travel, subcontract consent, general purpose equipment, NEPA requirements, Safety requirements, etc.)	
SPECIAL LANGUAGE AND/OR REQUIREMENT FOR AWARD (unique reporting requirements, training Grant provisions, statement of nature of collaboration for Cooperative Agreement)	

**GRANT/COOPERATIVE AGREEMENT
TECHNICAL REQUIREMENTS PACKAGE TRANSMITTAL FORM
SUPPLEMENTS/AUGMENTATIONS**

**◇ ARC ◇ DFRC ◇ GRC ◇ GSFC/Wallops ◇ HQ ◇ JPL/NMO
◇ JSC/White Sands ◇ LaRC ◇ KSC ◇ MSFC ◇ SSC**

PROPOSAL TITLE _____

Check type: ☐ Education ☐ Facilities ☐ Research ☐ Training

Check type: ☐ Competitive ☐ Non-Competitive

Principal Investigator (PI):

Name _____

Email _____

Phone _____

Technical Officer or Technical Investigator (TI):

Name _____

Email _____

Phone _____

Created By:/Center Point of Contact:

PR NUMBER (if known) _____

Name _____

Email _____

Phone _____

Required Documentation for Multi-Year Funding Continuations (i.e., Year 2 of 3 or Year 3 of 3)	COMMENTS
PROGRESS REPORT	
TECHNICAL EVALUATION MEMORANDUM	
REVISED BUDGET (if changed from the plan when Grant or Cooperative Agreement was awarded)	
JUSTIFICATIONS AND OTHER APPROVALS (if changes affecting these requirements were made)	
ADDITIONAL LANGUAGE AND/OR REQUIREMENT FOR AWARD (if necessary)	

Required Documentation for Supplements (Augmentations) (within original period of performance)	COMMENTS
ENDORSED PROPOSAL FOR ADDITIONAL WORK	
APPROVED DETAILED BUDGET FOR ADDITIONAL WORK	
REVISED BUDGET (if changed from the plan when Grant or Cooperative Agreement was awarded)	
TECHNICAL EVALUATION AND SELECTION STATEMENT FOR ADDITIONAL WORK	

Appendix VI -

List of Science and Research Institutes Excluded From NSSC Award and Administration

The following is a list of science and research institute awardees (listed by Centers). Technical Requirement Packages should be routed to the Center's Procurement Office for award and administration, regardless of the resulting award type (i.e., Grant, Cooperative Agreement, or Contract). Note: This list is subject to change.

Ames Research Center (ARC):

- NASA Astrobiology Institute (NAI)
- Universities Space Research Association (USRA)

Dryden Flight Research Center (DFRC):

- Aerospace Education Research & Operation (AERO) Institute

Glenn Research Centre (GRC):

- Center for Advanced Microgravity Materials Processing (CAMMP), Northeastern University
- National Center for Space Exploration Research (NCSER)
- Ohio Aerospace Institute (OAI)

Goddard Space Flight Center (GSFC):

- Space Telescope Science Institute (STScI)
- Center for Research in Space Sciences and Technology (CRESST)
- Goddard Earth Science and Technology Center (GEST)
- University Research, Engineering and Technology Institutes (UREIs) with the University of Florida and with the University of Maryland

Head Quarters:

- None

Johnson Space Center (JSC):

- National Space Biomedical Research Institute
- Universities Space Research Association (USRA)

Kennedy Space Center (KSC):

- None

Langley Research Center (LaRC):

- National Institute for Aerospace (NIA)

Marshall Space Flight Center (MSFC):

- National Space Science and Technology Center (NSSTC) and all Affiliated Universities, Commercial, and Non-profit Institutions (only applies if it is an affiliated action)
- National Center for Advanced Manufacturing (NCAM)
- Universities Space Research Association (USRA)

NASA Management Office (NMO):

- None

Stennis Space Center (SSC):

- None

Appendix VII - Acronyms and Abbreviations

AO	Announcement of Opportunity
ARC	Ames Research Center
BAA	Broad Agency Announcement
CAN	Cooperative Agreement Notice
CASI	Center for AeroSpace Information
CMM	Contract Management Module
DCMA	Defense Contract Management Agency
DFRC	Dryden Flight Research Center
HHS	Health and Human Services
FAADS	Federal Assistance Acceptance Data System
FedBizOps	Federal Business Opportunities
G&CA	Grants and Cooperative Agreements
GRC	Glenn Research Center
GSFC	Goddard Space Flight Center
HQ	NASA Headquarters
JSC	Johnson Space Center
JPL/NMO	Jet Propulsion Laboratory/NASA Management Office
KSC	Kennedy Space Center
LaRC	Langley Research Center
MSFC	Marshall Space Flight Center
NAIS EPS	NASA Acquisition Internet Service, Electronic Posting System
NEPA	National Environmental Protection Act
NSPIRES	NASA Solicitation and Proposal Integrated Review and Evaluation System
NSSC	NASA Shared Services Center
NSSC-CS	NASA Shared Services Center-Civil Servant
NSSC-SP	NASA Shared Services Center-Service Provider (Contractor)
NRA	NASA Research Announcement
ONR	Office of Naval Research
PI	Principal Investigator
PNM	Price Negotiation Memorandum
PR	Purchase Request
SSC	Stennis Space Center
TRP	Technical Requirements Package